

Housing Opportunities for Persons with AIDS (HOPWA) Program



Consolidated Annual Performance and Evaluation Report (CAPER) User Guide

May 2006

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Introduction

In this chapter:

- ♦ Who Should Use this Guide
 - ♦ Who is Required to Submit a CAPER
 - ♦ How to Use this Guide
 - ♦ Purpose of CAPER Reporting
 - ♦ Effective Date and Goals of the CAPER Revisions
-

Who Should Use This Guide

Administered by the U.S. Department of Housing and Urban Development (HUD), the Housing Opportunities for Persons with AIDS (HOPWA) Program is the only federal program dedicated to the housing needs of people living with HIV/AIDS and their families. Ninety percent of available HOPWA funds are awarded as grants based on a formula allocation to states and metropolitan areas where 1,500 cumulative cases of AIDS have been reported. HOPWA formula grantees are required to report program activities to HUD using the Consolidated Annual Performance and Evaluation Report (CAPER) and Integrated Disbursement & Information System (IDIS) reports.

This guide is primarily intended for HOPWA formula grantees and was designed to help aggregate results from the use of HOPWA funding. The guide provides step-by-step guidance on how to fill out the revised CAPER, using illustrations to explain how and where data should be reported. The guide follows the format of the CAPER to introduce grantees to the new data requirements and layout of the form. Formula grantees may use the APR to collect data from their project sponsors, consolidate the information and use this in completing their CAPER and Integrated Disbursement & Information System (IDIS) reports. For this reason, HOPWA formula grantees may also choose to use the APR User Guide.

This User Guide may also be useful for:

- ♦ City and State governmental entities involved in the administration of the HOPWA program or other local programs that work collaboratively with the HOPWA program and therefore need to understand its reporting requirements
- ♦ HOPWA Technical Assistance providers using this guide as a training tool or reference
- ♦ Consultants working with HOPWA grantees or project sponsors on any aspect of program design, implementation, administration, or evaluation

While this guide focuses specifically on the CAPER, other guides and resources are available on HUD's HOPWA web pages: <http://www.hud.gov/offices/cpd/aidshousing>

Who is Required to Submit a CAPER

The CAPER is used by formula HOPWA grantees and must be completed and submitted to HUD within 90 days after the end of each operating year in which funds were expended. Formula grantees have the option of using the APR to track accomplishments of their project/sponsors and then consolidating the information for reporting through the CAPER.

Information for all project sponsors within the entitlement area should be reported through the CAPER. However, the grantee should consolidate sponsor and provider information in one report covering the grantee's operating year. The grantee's CAPER should be the only report filed directly with HUD.

Grantees must submit a completed CAPER to HUD within 90 days after the end of each operating year. The report must be submitted to:

- (1) The CPD Division Director in the local HUD field office that is responsible for managing the grant, and
- (2) An additional copy must be sent to: HOPWA Program Office, Office of HIV/AIDS Housing, U.S. Department of Housing and Urban Development, 451 7th Street, S.W., Room 7212, Washington, DC 20410.

After the area HUD Office has received and reviewed the CAPER the grantee may be contacted about the information presented and may be asked to submit additional or corrective information. The information may also be used in connection with HUD monitoring visits.

Purpose of the CAPER

The AIDS Housing Opportunity Act requires that recipients of HOPWA grants report on the use of amounts received, including the number of individuals assisted, the types of assistance provided, and other information determined to be appropriate. The CAPER, in conjunction with IDIS, fulfills these statutory reporting requirements and provides the grantee and HUD with the necessary information to assess the overall performance and accomplishments of the grantee's program activities.

Annual performance reporting is an integral component of measuring and evaluating grantees' accomplishments. The CAPER, along with information entered into IDIS, are management tools to assist local grantees in evaluating program performance, including the performance of project sponsors and contracted service providers, in identifying recommendations for program improvements, and in setting future objectives for the community's efforts. The CAPER also provides communities with an opportunity to review how the area HOPWA program has helped participants obtain appropriate assistance that addresses the housing needs of low-income persons living with HIV/AIDS and their families.

In considering program successes, the CAPER may also be used to discuss how activities are carried out in conjunction with other resources in the community. These related efforts might include collaborations in the planning or design of housing assistance activities and in coordination with other programs to avoid duplication of efforts while ensuring an appropriate level of assistance for clients. The activities may also relate to the community's overall strategy for housing and community development and how those activities have been evaluated, including clients' satisfaction with services and performance. In addition, in describing performance, the grantees may report on the use

of performance measures and benchmarks in program development and operation to demonstrate accomplishments or lessons learned in administering these grants.

Goals of the CAPER Revision

HUD and the Office of HIV/AIDS Housing recently revised the CAPER forms to integrate the CAPER with the e-grants initiative, reflect the data elements of the Homeless Management Information System (HMIS)—which can decrease reporting burdens if grantees make use of HMIS tools for HOPWA clients—and implement the recommendations of the Program Assessment Rating Tool (PART) that identified a need for the HOPWA program to better demonstrate program results and establish long-term performance measures that focus on outcomes with associated indicators. The revised format also informed the proposed CPD Performance Measures, and is being used to inform a redesign of the Integrated Disbursement and Information System (IDIS). The revisions to the CAPER forms and the consolidation of elements will improve the focus of the data to be collected on the HOPWA program, reduce burdens to applicants and recipients in accessing these federal resources, and help clarify program components. It is hoped these changes will result in more accurate information and program accountability. The CAPER emphasizes grantee performance and client outcomes, and fulfills statutory reporting requirements, while providing HUD with the information necessary to assess the overall performance and accomplishments of grantee activities.

The information gathered will also allow HUD and the Office of HIV/AIDS Housing to use the aggregate national performance accomplishment data and report to Congress more accurately on HOPWA's program accomplishments, allowing for greater public accountability in the use of these federal funds.

Effective Date of the Revised CAPER

HOPWA grant recipients that begin a new program year on or after April 1, 2006, are required to collect data under the new report format and report on all of the elements used in these forms. Grantees with program years beginning between October 1, 2005 and March 31, 2006 should also use these revised forms to report on their project activities, although some of the new data elements may not be completely available until the next grant cycle. All other grantees are also strongly encouraged to complete the new forms, wherever possible. Almost all of the prior data elements on program use in expending funds for housing activities and characteristics of beneficiaries are being continued. By using the new forms, these grantees will meet the reporting requirements for 2005 and test the new format, as required for 2006 reports.

In addition, grantees are encouraged to provide the additional data, wherever available, on the new elements to help gain insight on these accomplishments. If the data on the new elements are not available, grantees using the forms will help identify those issues for themselves and the need to develop appropriate plans to collect this new data in order to report in the next operating year.

Many HOPWA recipients already collect information on client outcome results, or are using compatible data reporting systems such as the Homeless Management Information System (HMIS). Grantees also engage in ongoing assessments of the client's housing needs in updating and providing the program support. If the data is not available on a program-wide basis, it is possible that some of the project sponsors would have relevant information in client files that could help inform the start-up use of the new HOPWA reports. In providing this information to HUD, please note if there are

special data collection issues with your report, such as *the data is complete for one project sponsor but not for all the program efforts*. Most of the required reporting elements are continued on the 2006 forms in some direct manner.

HUD is interested in assisting the grantees in reviewing the quality of this data, wherever available, along with offering support needed to accurately provide data in future reports. The type of factual information on program operations, such as information on the project sponsors and your use of other leveraged resources, will help demonstrate the accomplishments of these HOPWA projects.

How To Use This Guide

This User Guide is designed for easy use, reference and instruction on each section of the CAPER. A quick look at the Table of Contents will identify which pages of the guide correspond to sections of the CAPER.

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These sections mirror the layout of the CAPER

A grantee that is familiar with the CAPER may only need guidance about the HOPWA performance outcomes section, in which case the grantee can reference the Table of Contents and go to the specific page for complete instructions on the outcomes section of the CAPER. The first page of each chapter identifies what is found within the chapter and the corresponding pages of the CAPER. Within the chapter, call-outs will identify important terms, definitions, and notes to the user.

Errata On May 4, 2006 the “HOPWA Technical Notes and Other Errata on Performance Reports and Updated Worksheet on Determining Housing Stability Outcomes,” was issued. Throughout the text of this User Guide a number ¹⁻¹⁵ will indicate an item referenced in the errata. Users can click on the number to be taken to the description. Instructions have modified where possible to reflect the errata without changing the content of the CAPER document.

Taken as a whole, this guide may be followed from beginning to end to provide a comprehensive picture of all that is involved in using the HOPWA CAPER. Appendices include a glossary of terms, and frequently asked questions. Other supplemental and training materials for both the CAPER and APR can be found on HUD’s HOPWA web pages: <http://www.hud.gov/offices/cpd/aidshousing>

Housing Opportunities for Persons with AIDS (HOPWA): Annual Progress Report — Measuring Project Performance (Grant Information Cover Page)

This chapter covers page 4 of the CAPER:

- ♦ Providing an Executive Summary
 - ♦ Providing general HOPWA grant and contract information
 - ♦ Providing a narrative summary of HOPWA Objects - Annual Performance under the Action Plan
 - ♦ Providing a narrative summary of HOPWA Objectives - Barriers and Trends
-

Part 1-A: Executive Summary

Program Year 1 CAPER Executive Summary

In this portion of the CAPER, grantees are to provide a one- to three-page narrative summary that gives a grantee and community overview including: A brief description of the grant organization, the area of service, the name of program contact(s), and a broad overview of the range/type of housing activities, along with information on each sponsor by name, main project site by zip code and related organization information.

This narrative also provides the grantee an opportunity to more fully explain and provide a context for the data contained in the CAPER. In your first year reporting with these revised forms, note any special data challenges you or your project sponsors have encountered, e.g., missing forms or incomplete data elements.

General Project Sponsor Information

Provide the following information for **every** project sponsor undertaking HOPWA program activities. This information will improve the quality of national data on the HOPWA program.

***NOTE:** Grantees that operate the program directly and directly carry out activities should also fill out this portion of the CAPER.*

- ♦ Project Sponsor Name
- ♦ Name and Title of Contact at Project Sponsor
- ♦ Email Address
- ♦ Business Address

- ♦ City, State, Zip
- ♦ Phone
- ♦ Fax Number (including area code)
- ♦ Website
- ♦ Total HOPWA Subcontract Amount for this Organization
- ♦ Primary Service or Site Information: Project Zip Code(s)
- ♦ Is the sponsor a nonprofit organization:
 - Yes (If yes, indicate if the organization is either faith-based or grassroots — see the glossary for a definition of “grassroots” organization)
 - No

Part 1-B: Program Year 1 CAPER Specific HOPWA Objectives — Annual Performance under the Action Plan

This chapter covers Part 1-B (page 4) of the CAPER:

- ♦ Providing an overview of annual performance under the Action Plan
-

The integration of the HOPWA program into the Consolidated Plan process is a HUD requirement that each HOPWA program grantee must comply with. The Consolidated Plan is a community-based strategic planning document mandated by federal law and administered through HUD. It is the community's application to HUD for specific housing funds administered by HUD's Office of Community Planning and Development (HUD), including HOPWA funds, and is intended to be a long-range planning document that describes housing needs, market conditions and housing strategies, including an action plan for the investment of federal housing funds.

The integration of HOPWA with local planning processes helps communities to coordinate comprehensive housing and services, improve access to mainstream services, and leverage funding from other sources. Ultimately, coordinated planning will help communities reach the outcomes they seek from the use of HOPWA funds: helping to ensure housing stability, improve access to care and services, and reduce homelessness for people living with HIV/AIDS in their community.

There are planning processes that HOPWA grantees must engage with and others that are voluntary. First and foremost, administrators of HOPWA programs must fully integrate their planning process with the Consolidated Plan process. The Consolidated Plan process must provide information on HOPWA-eligible activities and programs, people served by current programs, existing gaps, and community priorities for HOPWA funding. The Consolidated Plan identifies community housing, homelessness, and economic development needs and sets priorities and objectives. Consolidated Plan program funds are allocated to programs that meet the greatest needs, as identified in the plan. HOPWA funds must be allocated in accordance with the priorities established in the Consolidated Plan.

The Consolidated Plan is an important document for persons living with HIV/AIDS because it determines how your community or state decides where to spend millions of dollars in Federal government resources for housing and services.

In this section of the CAPER, formula grantees must provide a narrative to address each of the six items listed below. It will be helpful to have a copy of the local Consolidate Plan Strategic Plan and Annual Action Plan available when completing this narrative.

1. Report on the actions taken during the year that addressed the special needs of persons who are not homeless but require supportive housing, and assistance for persons who are homeless.

2. Evaluate the progress in meeting the project's objectives for providing affordable housing, including a comparison of actual outputs and outcomes to proposed goals and progress made on the other planned actions indicated in the strategic and action plans. The evaluation can address any related program adjustments or future plans.
3. Include any assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.
4. Report on the use of committed leveraging from other public and private resources that helped to address needs identified in the plan. Report the number of stewardship units of housing that have been created through acquisition, rehabilitation, or new construction with any HOPWA funds.
5. Describe any other accomplishments recognized in the community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.
6. Provide an analysis of the extent to which HOPWA funds were distributed among different categories of housing needs consistent with the geographic distribution plans identified in its approved Consolidated Plan.

Part 1-C: Program Year 1 CAPER Specific HOPWA Objectives — Barriers or Trends Overview

This chapter covers Part 1-A (page 4) of the CAPER:

- ♦ Providing information about barriers and trends
-

This section asks the grantees to provide a narrative to each of the three items below to describe the barriers and trends encountered in their program. The grantee may use this narrative to explain how these barriers affected their program's ability to produce the objectives and outcomes discussed in the previous section.

1. Describe any barriers (including non-regulatory) encountered, actions in response to barriers, and recommendations for program improvement.
2. Describe any expected trends facing the community in meeting the needs of persons living with HIV/AIDS, and provide any other information important in providing services to persons with HIV/AIDS.
3. Note any evaluation, studies, or other assessments of the HOPWA program available to the public.

Part 2: Accomplishments Data — CAPER

Chart 1 (planned goal) and Chart 2 (actual)

This chapter covers Part 2 (page 5) of the CAPER:

- Reporting aggregate information from all project sponsors on grant activities, the goal and actual number of households served with HOPWA housing assistance and non-HOPWA housing assistance, the amount of budgeted and actual funds expended, and leveraged funds expended by activity

This chart summarizes all grant activities included in the CAPER. When filling out the CAPER, grantees report in the aggregate; therefore, data should be gathered from all project sponsors and reported as the total number of households and total amount of funds expended by activity. Grantees must report on both the planned (goal) and actual number of households assisted, by type of activity, with both HOPWA funds and other funds (Columns a–d). In addition, the budgeted and actual HOPWA funds and the leveraged non-HOPWA funds must be reported (Columns e–g).

The chart includes five sections each relates to a HOPWA-eligible activity and includes two or more rows that are subcategories. Each section of the chart will be discussed separately.

- Types of Housing Subsidy Assistance (*report on households*)
- Housing Development, Construction and Stewardship of facility-based housing (*report on units*)
- Supportive Services (*report on households*)
- Housing Placement Assistance (*report on households*)
- Housing Development, Administrative, and Management Services (*report on funds only*)

The first section of this chart includes information about the **Housing Subsidy Assistance** provided.

Figure 1 (see CAPER page 5): Housing Subsidy Assistance (Rows 1–4)¹

HOPWA Performance Charts 1 (planned goal) and 2 (actual)		Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA				
		a.	b.	c.	d.	e.	f.	g.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
1.	Tenant-based Rental Assistance	40	36	15	16	194,400	177,984	45,000
2.	Units in facilities supported with operating costs: <u>Number of households supported</u>							
3.	Units in facilities developed with capital funds and placed in service during the program year: <u>Number of households supported</u>							
4.	Short-term Rent, Mortgage and Utility payments							

- ♦ **OUTPUTS HOUSEHOLDS — HOPWA ASSISTANCE (GOAL AND ACTUAL) AND NON-HOPWA ASSISTANCE (GOAL AND ACTUAL):** Grantees should report the number of households that received assistance in each category.



Reporting by “household” means information is provided for the household regardless of how many people that includes. A household may only include the HOPWA-eligible individual(s), or may include multiple members. The number of households reported to have received support from HOPWA funds must be the same as reported in the annual year-end IDIS data.

Row 1. Tenant-based rental assistance:

Column a. Goal HOPWA-Assisted Households: Report the number of households the grantee planned to assist with HOPWA-funded tenant-based rental assistance.

Column b. Actual HOPWA-Assisted Households: Report the number of households the grantee actually assisted with HOPWA-funded tenant-based rental assistance.

Tenant-based rental assistance: A housing subsidy provided to the eligible participant for use on the open rental market where the tenant holds a lease with a private landlord. The participant may use the subsidy in any FMR- and HQS-eligible unit.

Scenario: At the beginning of the operating year the grantee planned to assist 40 households with TBRA assistance. This estimate was based on the number of households served in the prior year and the local Consolidated Plan and Annual Action Plan objectives. The grantee actually served 36 households.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist with non-HOPWA leveraged tenant-based rental assistance funds.

Column d. Actual Non-HOPWA Assisted Households: Report the number of households the grantee actually assisted with non-HOPWA leveraged tenant-based rental assistance funds.

A Non-HOPWA Source may be any other source of non-HOPWA funds, e.g. HOME funds, or other state or local funds, which the grantee leverages and applies toward tenant-based or facility-based rental assistance or STRMU.

Scenario: The same grantee anticipated that 15 of the 40 households could be served through the use of leveraged HOME funds that were pooled with HOPWA funds to provide TBRA. 16 households were actually served leveraged HOME funds.

Row 2.2 *Units in facilities supported with operating costs:*

Column a. Goal HOPWA-Assisted Households: Report the number of households the grantee planned to assist in facility-based units supported with HOPWA operating funds.

Column b. Actual HOPWA-Assisted Households: Report the number of households the grantee actually assisted in facility-based units supported with HOPWA operating funds.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist in facility-based units supported with non-HOPWA leveraged operating funds.

Column d. Actual Non-HOPWA Assisted Households: Report the number of households the grantee actually assisted in facility-based units supported with non-HOPWA leveraged operating funds.

Facility-based housing assistance: All HOPWA Housing expenditures for the current operating year to support facilities including community residences, SRO dwellings, short-term facilities, project-based units, master leased units, and other housing facilities approved by HUD.

Row 3.3 *Units in facilities developed with capital funds and placed in services during the program year:*

Column a. Goal HOPWA-Assisted Households: Report the number of households the grantee planned to assist in newly opened facility-based units supported with HOPWA funds.

Column b. Actual HOPWA-Assisted Households: Report the number of households the grantee actually assisted in newly opened units supported with HOPWA funds.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist in units supported with non-HOPWA leveraged funds.

Column d. Actual Non-HOPWA Assisted Households: Report the number of households the grantee actually assisted in units supported with non-HOPWA leveraged funds.

Row 4. *Short-term Rent, Mortgage, and Utility Assistance:*

Column a. Goal HOPWA-Assisted Households: Report the number of households the grantee planned to assist with HOPWA-funded Short-term Rent, Mortgage, or Utility assistance.

Column b. Actual HOPWA-Assisted Households: Report the number of households the grantee actually assisted with HOPWA-funded Short-term Rent, Mortgage, or Utility assistance.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist with a non-HOPWA leveraged source of Short-term Rent, Mortgage, or Utility assistance.

Short-term Rent, Mortgage, and Utility Assistance: A housing subsidy provided to mortgagors or renters in their current place of residence for assistance with rent, mortgage or utilities for a period of up to 21 weeks.

Column d. Actual Non-HOPWA Assisted Households: Report the actual number of households the grantee assisted with a non-HOPWA leveraged source of Short-term Rent, Mortgage, or Utility assistance.

NOTE: The errata⁴ indicates that an “adjustment to eliminate duplication” line can be added after Row 4. Grantees can insert this information where possible for all columns except Column g. Leveraged non-HOPWA.

♦ **FUNDING — HOPWA BUDGET AND ACTUAL AND LEVERAGED NON-HOPWA:**

In this column, grantees should report the amount of HOPWA funds that were budgeted for each activity, the amount of HOPWA funds actually expended, and the amount of non-HOPWA leveraged funds that were expended by activity.

Row 1. Tenant-based Rental Assistance:

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds that were budgeted for TBRA assistance.

Column f. Actual HOPWA funds expended: Report the amount of HOPWA funds actually expended on TBRA for the households reported in Column b.

Non-HOPWA Sources may be any other source of non-HOPWA funds, e.g. HOME funds, or other state or local funds, which the grantee leverages and applies toward tenant-based or facility-based rental assistance or STRMU.

Scenario: The grantee budgeted \$194,400 to provide HOPWA TBRA assistance to the goal number of 40 households. The actual amount spent on 36 households was \$177,984.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged TBRA funds that were used to assist the households identified in Column d.

Scenario: Leveraged HOME funds in the amount of \$45,000 were used to assist some of the HOPWA TBRA assisted clients. 16 households received these leveraged funds.

Row 2.² Units in facilities supported with operating costs:

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds that were budgeted for operating expenses to support the households in facilities reported in Column a.

Column f. Actual HOPWA Funds Expended: Report the actual amount of HOPWA funds expended on operating costs for the households reported in Column b.

Column g. Leveraged Non-HOPWA Funds Expended: Report the amount of non-HOPWA leveraged funds expended on operating costs for the households reported in Column d.

NOTE: *The costs associated with the operation of facility-based non-housing, i.e., meeting or office space where clients access case management or other services but no housing units are located on site, should be reported as a supportive services cost.*

Row 3.³ *Units in facilities developed with capital funds and placed in service during the program year:*

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA operating funds that were budgeted for units newly developed and placed in service.

Column f. Actual HOPWA Funds Expended: Report the actual amount of HOPWA operating funds expended on the units identified in Column b that were newly developed and placed in service.

Column g. Leveraged Non-HOPWA Funds Expended: Report the amount of non-HOPWA leveraged operating funds that were expended on units identified in Column d that were newly developed and placed in service.

Row 4. *Short-term Rent, Mortgage, and Utility Assistance:*

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds that were budgeted for STRMU assistance.

Column f. Actual HOPWA Funds Expended: Report the actual amount of HOPWA funds expended on STRMU for the households reported in Column b.

Column g. Leveraged Non-HOPWA Funds Expended: Report the amount of non-HOPWA leveraged STRMU funds that were used to assist the households identified in Column d.

NOTE: *The errata⁴ indicates that an “adjustment to eliminate duplication” line can be added after Row 4. Grantees can insert this information where possible for all columns except Column g. Leveraged non-HOPWA.*

The second section of this chart—**Housing Development**—asks for information about housing development and stewardship activities. These activities are measured in units.

NOTE: Only units are reported in this section. If any **households** were supported during the reporting period in units receiving operating funds, the households should be reported in Rows 2 and 3 as appropriate.

Figure 1 (see CAPER page 5): Housing Development (Rows 5–7)

		Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA		e.	f.	g.
		a.	b.	c.	d.			
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
Housing Development (Construction and Stewardship of facility based housing)		Output Units						
5.	Units in facilities being developed with capital funding but not yet opened (show units of housing planned)							
6.	Stewardship (developed with HOPWA but no current operation or other costs) Units of housing subject to 3- or 10- year use agreements							
7.4	Adjustment to eliminate duplication (i.e., moving between types of housing)							
Total unduplicated number of households/units of housing assisted⁵								

- ♦ HOUSING DEVELOPMENT (CONSTRUCTION AND STEWARDSHIP OF FACILITY-BASED HOUSING): Lists the type of housing development activity.
- ♦ OUTPUTS **HOUSEHOLDS** — HOPWA ASSISTANCE AND NON-HOPWA ASSISTANCE:

Row 5. *Units in facilities being developed with capital funding but not yet opened:*

Column a. Goal HOPWA-Assisted Units: Report the number of units the grantee planned to develop with HOPWA capital funds.

Column b. Actual HOPWA-Assisted Units: Report the actual number of units in development using HOPWA capital funds.

Column c. Goal Non-HOPWA Assisted Units: Report the number of units the grantee planned to develop with the use of non-HOPWA leveraged capital funds.

Column d. Actual Non-HOPWA Assisted Units: Report the actual number of units in development but not yet opened that the grantee is developing with the use of non-HOPWA leveraged capital funds.

Row 6. Stewardship units subject to 3- or 10-year use periods:
 Report the units that were previously developed with HOPWA funds and are now subject to a minimum use period. Units reported here should NOT be receiving any HOPWA operating funds. The households residing in units receiving HOPWA operating funds should be reported in Row 2, Column b above.

Stewardship Units: Units that were developed with HOPWA funds but have no current HOPWA costs and are subject to 3- or 10-year use periods.

Column a. Goal HOPWA-Assisted Units: Report the goal number of units that were developed with HOPWA funds subject to a 3- or 10-year Stewardship agreement.

Column b. Actual HOPWA-Assisted Units: Report the actual number of units previously developed with HOPWA funds that are subject to a 3- or 10-year Stewardship agreement.

Column c. Goal Non-HOPWA Assisted Units: Report the goal number of units that were developed with non-HOPWA leveraged capital funds that are subject to a 3- or 10-year Stewardship agreement.

Column d. Actual Non-HOPWA Assisted Units: Report the actual number of units that were developed with non-HOPWA leveraged capital funds that are subject to a 3- or 10-year Stewardship agreement.

Row 7.4 Adjustment to eliminate duplication: NO DATA REQUIRED.

5Row. Total unduplicated number of households/units of housing assisted: For Columns a–d, enter the total of Rows 5–6.

♦ **FUNDING — HOPWA BUDGET AND ACTUAL AND LEVERAGED NON-HOPWA:**

Row 5. Facility-based units developed with capital funding but not yet opened:

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA capital funds budgeted for the facility-based units reported in Column a. that are in development but not yet opened.

Column f. Actual HOPWA Funds Expended: Report the actual amount of HOPWA capital funds expended for facility-based units reported in Column b. that are in development but not yet opened.

Column g. Leveraged Non-HOPWA Funds Expended: Report the amount of non-HOPWA leveraged capital funds that were expended for facility-based units reported in Column d. that are in development but not yet opened.

Row 6. Stewardship units subject to 3- or 10-year use periods:

Column e. HOPWA Funds Budgeted: NO DATA REQUIRED. No HOPWA funds should be expended on units in the Stewardship phase.

Column f. Actual HOPWA Funds Expended: NO DATA REQUIRED. No HOPWA funds should be expended on units in the Stewardship phase.

Column g. Leveraged Non-HOPWA Funds Expended: Report the amount of non-HOPWA leveraged operating funds that were expended to support the units subject to a 3- or 10-year Stewardship agreement.

Row 7.4 Adjustment to eliminate duplication: NO DATA REQUIRED.

5Row. Total unduplicated number of households/units of housing assisted: For Columns a–d, enter the total of Rows 5–6.

The third section of the chart—**Supportive Services**— asks for supportive services information broken into two categories: households that received supportive services in conjunction with HOPWA housing assistance, and households receiving ONLY supportive services without any HOPWA housing assistance.

Figure 1 (see CAPER page 5): Supportive Services (Rows 8–9)

		Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA		e.	f.	g.
		a.	b.	c.	d.			
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
	Supportive Services	Output Households						
8.	i) Supportive Services in conjunction with <u>HOPWA</u> housing activities ¹							
	ii) Supportive Services <u>NOT</u> in conjunction with <u>HOPWA</u> housing activities ²							
9.	Adjustment to eliminate duplication							
	Total Supportive Services							

1. Supportive Services in conjunction with HOPWA Housing Assistance: if money is spent on case management and employment training, outcomes must be reported in Access to Care and Support (See Chart 4-a).
 2. Supportive Services NOT in conjunction with HOPWA Housing Assistance: if money is spent on case management and employment training, outcomes must be reported in Access to Care and Support (See Chart 4 -c.).

- ♦ **SUPPORTIVE SERVICES (EXCLUDING HOUSING PLACEMENT ACTIVITIES):** Housing placement activities are reported in the next section.
- ♦ **OUTPUTS HOUSEHOLDS — HOPWA ASSISTANCE AND NON-HOPWA ASSISTANCE:**

Row 8(i). Supportive Services in conjunction with HOPWA housing activities: Of the total assisted households reported in Rows 1-4, report the number of these households that received HOPWA-funded supportive services (except housing placement or housing information services) at the same time they received housing assistance.

Column a. Goal HOPWA-Assisted Households: Report the number of households that the grantee planned to assist with HOPWA-funded supportive services.

Column b. Actual HOPWA-Assisted Households: Report the actual number of households the grantee assisted with HOPWA-funded supportive services.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist with non-HOPWA leveraged supportive services.

Column d. Actual Non-HOPWA Assisted Households: Report the actual number of households the grantee assisted with non-HOPWA leveraged supportive services.

Row 8(ii). Supportive Services NOT in conjunction with HOPWA housing activities: Report the number of households that received HOPWA-funded supportive services only (except housing placement or housing information services) but were NOT simultaneously assisted with HOPWA-funding housing.

Column a. Goal HOPWA-Assisted Households: Report the number of households the grantee planned to assist with HOPWA-funded supportive services.

Column b. Actual HOPWA-Assisted Households: Report the actual number of households the grantee assisted with HOPWA-funded supportive services.

Column c. Goal Non-HOPWA Assisted Households: Report the number of households the grantee planned to assist with non-HOPWA leveraged supportive services.

Column d. Actual Non-HOPWA Assisted Households: Report the actual number of households the grantee assisted with non-HOPWA leveraged supportive services.

Row 9. Adjustment to eliminate duplication:

Columns a–d: Report the number of households that were counted in both Rows 8(i) and 8(ii).

Scenario: A household enters the program and initially requires only HOPWA-funded case management. The household would be counted in Row 8(ii). Five months later this same household receives STRMU assistance while continuing to receive HOPWA-funded case management. The household would be counted in Row 8(i).

Row. Total Supportive Services: For Columns a–d, subtract the number in Row 9 from the total of Rows 8i and 8ii and enter the difference.

♦ **FUNDING — HOPWA BUDGET AND ACTUAL AND LEVERAGED NON-HOPWA:**

Row 8(i). Supportive Services in conjunction with HOPWA housing activities: Report the amount of HOPWA funds expended on supportive services for the HOPWA-housing assisted households identified.

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for the households in Column a. assisted with supportive services in conjunction with HOPWA-funded housing activities.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended for households in Column b. assisted with supportive services in conjunction with HOPWA-funded housing.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended for households in Column d. assisted with supportive services in conjunction with HOPWA-funded housing.

Row 8(ii). Supportive Services NOT in conjunction with housing activities: Report the amount of HOPWA funds expended on the households that received supportive services only, not in conjunction with HOPWA-funded housing.

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for households in Column a. assisted with supportive services not in conjunction with HOPWA-funded housing activities.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended for households in Column b. assisted with supportive services not in conjunction with HOPWA-funded housing.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended for the households in Column d. assisted with supportive services not in conjunction with HOPWA-funded housing.

Row 9. Adjustment to eliminate duplication:

Columns e–f: Report the amounts of funds that were counted in both Rows 8(i) and 8(ii) for Columns e–f.

Row. Total Supportive Services: For Columns e–f, subtract the amount in Row 9 from the total of Rows 8i and 8ii and enter the difference.

The fourth section of the chart—**Housing Placement Assistance**—asks for data on housing information and permanent housing placement activities only. All other supportive services provided to households should be reported in the previous section.

Figure 1 (see CAPER page 5): Housing Placement Assistance (Rows 10–11)

		Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA		e.	f.	g.
		a.	b.	c.	d.			
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
	Housing Placement Assistance³							
10.	Housing Information Services							
11.	Permanent Housing Placement Services							
	Total Housing Placement Assistance							

3. Housing Placement Activities: if money is spent on housing placement activities in conjunction with HOPWA Housing Assistance, outcomes must be reported in Access to Care and Support (See Chart 4-a); if not in conjunction with HOPWA Housing Assistance, outcomes must be reported in Access to Care and Support (See Chart 4-c).

- ♦ HOUSING PLACEMENT ASSISTANCE ACTIVITIES: Housing Information or Permanent Housing Placement Services.
- ♦ OUTPUTS **HOUSEHOLDS** — HOPWA ASSISTANCE AND NON-HOPWA ASSISTANCE:

Row 10. Housing Information Services:

*Column a. Goal **HOPWA-Assisted Households:** Report the number of households the grantee planned to assist with HOPWA-funded housing information services.*

*Column b. Actual **HOPWA-Assisted Households:** Report the actual number of households the grantee assisted with HOPWA-funded housing information services.*

*Column c. Goal **Non-HOPWA Assisted Households:** Report the number of households the grantee planned to assist with non-HOPWA leveraged housing information services.*

*Column d. Actual **Non-HOPWA Assisted Households:** Report the number of households the grantee actually assisted with non-HOPWA leveraged housing information services.*

***NOTE:** For grantees providing Housing Information Services through a call center the number of households served may be difficult to determine. In this case each call could reasonably be considered to be one household unless the caller self-identifies as having accessed the service previously. Of those households counted, the number also accessing a non-HOPWA form of housing assistance may be unknown. If the grantee leverages other funds for use in housing information services and pools these with the HOPWA funds, the number of households receiving related non-HOPWA support would equal the total number served. If non-HOPWA-leveraged funds account for one-third of the total Housing Information funds, one-third of households accessing this service could reasonably be considered to receive “Related non-HOPWA Support.”*

Row 11. Permanent Housing Placement Services:

*Column a. Goal **HOPWA-Assisted Households:** Report the number of households the grantee planned to assist with HOPWA-funded permanent housing placement assistance.*

*Column b. Actual **HOPWA-Assisted Households:** Report the actual number of households the grantee assisted with HOPWA-funded permanent housing placement assistance.*

*Column c. Goal **Non-HOPWA Assisted Households:** Report the number of households the grantee planned to assist with non-HOPWA leveraged permanent housing placement assistance.*

*Column d. Actual **Non-HOPWA Assisted Households:** Report the actual number of households the grantee assisted with non-HOPWA leveraged permanent housing placement assistance.*

Housing Information Services

can include such activities as housing counseling, housing advocacy, information and referral services, fair housing information, and housing search and assistance.

Permanent Housing Placement Services

are costs associated with establishing a residence equaling up to two months worth of move-in costs that may include deposits, credit and background checks. These services can only be provided to HOPWA-eligible participants.

Scenario: The HOPWA program assists a household with a rent deposit but does not provide assistance with the credit check fee because another local agency already provides this service, which the household utilizes. This household would be counted as receiving a non-HOPWA-funded Permanent Housing Placement Service.

NOTE: The errata⁶ indicates that an “adjustment to eliminate duplication” line can be added after Row 11. Grantees can insert this information where possible for all columns except Column g. Leveraged non-HOPWA.

Row. *Total Housing Placement Assistance:* For Columns a–d, subtract the amount in the adjustment to eliminate duplication row from the total of Rows 10 and 11 and enter the difference.

♦ **FUNDING — HOPWA BUDGET AND ACTUAL AND LEVERAGED NON-HOPWA:**

Row 10. Housing Information Services:

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for housing information services for the households reported in Column a.

Column f. Actual HOPWA funds expended: Report the amount of HOPWA funds actually expended for housing information services for the households reported in Column b.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended for housing information services for the households identified in Column d.

Row 11. Permanent Housing Placement Services: Report the amount of funds expended on households that received permanent housing placement services.

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for permanent housing placement activities for the households reported in Column a.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended for permanent housing placement activities for the households reported in Column b.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended for permanent housing placement activities for the households identified in Column d.

NOTE: The errata⁶ indicates that an “adjustment to eliminate duplication” line can be added after Row 11. Grantees can insert this information where possible for all columns except Column g. Leveraged non-HOPWA.

Row. *Total Housing Placement Assistance:* For Columns e–f, subtract the amount of funds in the adjustment to eliminate duplication row from the total of Rows 10 and 11 and enter the difference.

In the fifth and final section of the chart—**Administration and Management**⁷—grantees record all other eligible administrative and management activities.

Figure 1 (see CAPER page 5): Housing Development, Administration, and Management (Rows 12–14)

		Outputs Households				Funding		
		HOPWA Assistance		Non-HOPWA				
		a.	b.	c.	d.	e.	f.	g.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual	Leveraged Non-HOPWA
Housing Development, Administration, and Management Services ⁷								
12.	Resource Identification to establish, coordinate and develop housing assistance resources							
13.	Grantee Administration (maximum 3% of total) (i.e., costs for general management, oversight, coordination, evaluation, and reporting)							
14.	Project Sponsor Administration (maximum 7% of total) (i.e., costs for general management, oversight, coordination, evaluation, and reporting)							
Total costs for program year								

♦ HOUSING DEVELOPMENT, ADMINISTRATION, AND MANAGEMENT SERVICES:

NOTE: This section includes information about the administration of your HOPWA grant only. Financial information related to Resource Identification, Grantee Administration, and Project Sponsor Administration should be reported here.

♦ OUTPUTS **HOUSEHOLDS** — HOPWA ASSISTANCE AND NON-HOPWA ASSISTANCE: NO DATA REQUIRED in Columns a–d.

Rows 12–14. NO DATA REQUIRED. Administrative and Management funds cannot be used to provide direct services to HOPWA-assisted households.

♦ **FUNDING — HOPWA BUDGET AND ACTUAL AND LEVERAGED NON-HOPWA:**

Row 12. Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residences):

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for resource identification activities.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended on resource identification activities.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended on resource identification activities.

Row 13. Grantee Administration:

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for grantee administrative activities.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended on grantee administrative activities.

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended on grantee administrative activities.

Row 14. Project Sponsor Administration: Report the amount of HOPWA funds all project sponsors spent on grant administration activities during the operating year.

Column e. HOPWA Funds Budgeted: Report the amount of HOPWA funds budgeted for project sponsor administrative activities.

Column f. Actual HOPWA funds expended: Report the actual amount of HOPWA funds expended on project sponsor administrative activities

Column g. Leveraged Non-HOPWA funds expended: Report the amount of non-HOPWA leveraged funds expended on project sponsor administrative activities.

♦ **TOTAL COSTS FOR PROGRAM YEAR:**

Total Expenditures: Add Rows 12–14 in Columns e–g and enter the total here.

Resource Identification activities may include developing housing assistance resources such as brochures and web resources, outreach and relationship building with landlords, and time spent in locating affordable housing vacancies. The only Technical Assistance funds eligible in this category are those provided in conjunction with community residences. These are not direct services provided to HOPWA-assisted households.

Part 3: Instructions on HOPWA CAPER Chart 3 on Measuring Housing Stability Outcomes

This section covers Part 3 (page 6) of the CAPER:

- ♦ Reporting on the number of households served by type of housing assistance
 - ♦ Reporting on destination for households that have exited
-

The CAPER is set up to measure housing stability by collecting data on the housing situation of the households that received HOPWA housing support prior to entering the program. In many cases, households continue in the program year-to-year or newly enter the program during the year. This part assesses the housing stability of these households, including single-family households, at the time of re-assessment or when they exit the program. Assessment should be based on a reasonable expectation of the housing result. For example if a household leaves a program, what is reasonably expected to be their destination? The CAPER also provides a worksheet^{13 14} that uses this data to show your program results toward achieving housing stability. See the updated housing stability worksheet that discusses the categories HOPWA has provided from which to choose the types of housing situations.

Key to this section is an annual assessment that would determine that the assistance is to continue or be changed in some manner. HOPWA regulations at 24 CFR 754.500 require ongoing assessment. Grantees should undertake an annual household assessment to plan for the assistance that will continue into the next year. This section allows grantees to report on how they're meeting this requirement.

Households assisted with Tenant-based Rental Assistance and Facility-based Rental Assistance that exit the HOPWA program or transition to any other kind of assistance should be reported in the most appropriate category upon their exit.

STRMU recipients who are assessed and reasonably expected to have achieved stability and are not likely to need additional STRMU support should be reported in a stable category, such as "3" private housing, even if they have received only some portion of the 21 weeks of assistance. If additional STRMU assistance is likely to continue, or if case management assessment indicates that even after having received the full 21 weeks of benefit the household is reasonable expected to need further future support, report as category "2" temporary housing. STRMU assistance is provided as a homelessness prevention tool and therefore, households reported in category 2, "Temporary Housing" are not counted toward your programs results in achieving housing stability.

The chart on page 6 of the APR will be reviewed by breaking it into two sections, the Tenant-based Rental Assistance and Facility-based Rental Assistance, and Short-term Rent, Mortgage, and Utility (STRMU) assistance.

Figure 2 (see CAPER page 6): Types of Housing Assistance

Permanent Housing Subsidy Assistance	Total Number of Households Receiving HOPWA Assistance	Number of Households Continuing	Number of Exited Households Component and Destination
Tenant-based Rental Assistance	ENTER ALL HOUSEHOLDS SERVED	REPORT ALL HOUSEHOLDS WHO WILL CONTINUE TO RECEIVE ASSISTANCE	1 (Emergency Shelter) =
			2 (Temporary Housing) =
			3 (Private Housing) =
			4 (Other HOPWA) =
			5 (Other Subsidy) =
			6 (Institution) =
			7 (Jail/Prison) =
			8 (Disconnected) =
			9 (Death) =
Facility-based Housing Assistance	ENTER ALL HOUSEHOLDS SERVED	REPORT ALL HOUSEHOLDS WHO WILL CONTINUE TO RECEIVE ASSISTANCE	1 (Emergency Shelter) =
			2 (Temporary Housing) =
			3 (Private Housing) =
			4 (Other HOPWA) =
			5 (Other Subsidy) =
			6 (Institution) =
			7 (Jail/Prison) =
			8 (Disconnected) =
			9 (Death) =

- ♦ TYPE OF HOUSING ASSISTANCE: Tenant-based Rental Assistance or Facility-based Housing Assistance.
- ♦ TOTAL NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:

NOTE: If a household received more than one type of HOPWA housing assistance in the year, they should be counted in all categories that apply.

Tenant-based Rental Assistance: Report the total number of households that received HOPWA-funded tenant-based rental assistance in the operating year. This is the total of all currently enrolled AND all exited households who accessed the type of housing assistance at any time during the year. The data provided should match the data in Part 2, Row 1, Column b “HOPWA Assistance Actual.”

Facility-based Rental Assistance: Report the total number of households that received HOPWA-funded facility-based housing assistance in the operating year. This is the total of all currently enrolled AND all exited households who accessed the type of housing assistance at any time during the year. The data provided should match the data in Part 2, Row 2, Column b “HOPWA Assistance Actual.”

♦ NUMBER OF HOUSEHOLDS CONTINUING:

Tenant-based Rental Assistance: Report the number of HOPWA-assisted households that are continuing to receive tenant-based housing assistance.

Continuing households are those that received assistance during the operating year and are continuing into the next operating year.

Facility-based Housing Assistance: Report the number of HOPWA-assisted households that are continuing to receive facility-based housing assistance.

NOTE: The total number of households reported in Column 3, subtracted from the total number of households reported in Column 1, should equal the amount reported in Column 2.

♦ NUMBER OF EXITED HOUSEHOLDS, COMPONENT, AND DESTINATION: See the revised Housing Stability Worksheet for destination definitions [13](#), [14](#).

Tenant-based Rental Assistance: Report the number of households that left the program during the operating year by their housing destination.

Facility-based Rental Assistance: Report the number of households that left the program during the operating year by their housing destination.

Exited Households for Tenant-based Rental Assistance and Facility-based Housing Assistance are those that have departed/been terminated from HOPWA housing assistance.

Figure 3 (see CAPER page 6): Short-term Housing Assistance¹⁴

Short-term Housing Assistance	Total Number of Households Receiving HOPWA Assistance	Of the Total number Households Receiving STRMU Assistance this operating year	Status of STRMU Assisted Households at the End of Operating Year
Short-term Rent, Mortgage, and Utility Assistance		What number of those households received STRMU Assistance in the prior operating year: <input type="text"/>	1 (Emergency Shelter) =
			2 (Temporary Housing) =
			3 (Private Housing)* =
		What number of those households received STRMU Assistance in the two (2) prior operating years (ago): <input type="text"/>	4 (Other HOPWA) =
			5 (Other Subsidy) =
			6 (Institution) =
			7 (Jail/Prison) =
			8 (Disconnected) =
			9 (Death) =

- ♦ SHORT-TERM HOUSING ASSISTANCE: Short-term Rent, Mortgage, or Utility Assistance.
- ♦ TOTAL NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:

NOTE: If a household received more than one type of HOPWA housing assistance in the year, they should be counted in all categories that apply.

Short-term Rent, Mortgage, and Utility Assistance: Report the total number of households that received HOPWA-funded Short-term Rent, Mortgage, and Utility Assistance (STRMU) in the operating year. This is the total of all currently enrolled AND all exited households who accessed any amount of this type of housing assistance at any time during the year. The data provided should match the data in Part 2, Row 4, Column b “HOPWA Assistance Actual.”

- ♦ OF THE TOTAL NUMBER OF HOUSEHOLDS RECEIVING STRMU ASSISTANCE THIS OPERATING YEAR:

What number of those households received STRMU Assistance in the prior operating year: FOR STRMU-ASSISTED HOUSEHOLDS ONLY, grantees report the number of the STRMU-assisted households that also received any amount of STRMU assistance in the prior operating year.

What number of those households received STRMU Assistance in the prior two (2) operating years: FOR STRMU-ASSISTED HOUSEHOLDS ONLY, grantees report the number of households that received any amount of STRMU assistance in both of the prior two operating years.

♦ STATUS OF STRMU-ASSISTED HOUSEHOLDS AT THE END OF THE OPERATING YEAR:

Short-term Rent, Mortgage, and Utility Assistance: Indicate a status for each STRMU-assisted household at the end of the operating year or upon the household's exit. See page 9 and the revised Housing Stability Worksheet in Appendix A¹⁴ for additional information on categorizing STRMU-assisted households.



For additional information on Housing Stability Outcomes, go to AIDS Housing of Washington's web site: <http://www.aidshousing.org>

Part 4: HOPWA Outcomes on Access to Care and Support

This section covers Part 4 (pages 7–8) of the CAPER:

- ♦ Reporting on the services accessed and the households' income for households receiving HOPWA housing assistance
 - ♦ Reporting on services accessed for households receiving non-HOPWA housing assistance
-

Access to health care and supportive services was chosen as an outcome because it is believed to lead to greater stabilization and improvement in the lives of people living with HIV/AIDS. The CAPER asks for information on six categories of services that are intended as measures of this outcome, even if no HOPWA funds were expended for direct housing costs. These measures are proxies for more direct measures of access to care and services, meaning they “stand in place of” more direct measures. Proxy outcomes are used when direct measurement of the intended outcome is difficult. Note that in determining the corresponding support, household income must be reported on an annual basis and a status check on these households can be done at this time.

The first four measures were chosen out of many ideas identified by grantees and project sponsors at the 2003 grantees' meeting as the indicators most relevant to helping people with HIV/AIDS attain or sustain stability or improvements in their lives. The two job-related measures were added because this program is an integral part of HUD's larger community development efforts.

This section asks for information for households that receive supportive services⁸, broken into two sections. The first is for reporting on households receiving supportive services in conjunction with HOPWA-funded housing assistance. The second section is for reporting on households receiving a HOPWA supportive service NOT in conjunction with HOPWA-funded housing. If a grantee is operating a housing program, they should provide information based on reasonable knowledge of additional support the household receives. Together these sections will allow HOPWA grantees to show the important effects on the lives of the people they serve that are made by connecting them with related support while they are receiving housing assistance. The combination of stable housing and access to care is a fundamental distinguishing aspect of this program.

- a. *Support IN CONJUNCTION with HOPWA-funded Housing Assistance.*⁸ Complete this chart ONLY for households that received supportive services from any source at the same time they received HOPWA-funded housing assistance. These are the same HOPWA-assisted households that were reported in Part 2, lines 8i, 10 and 11. Reporting at entry/continuing or exit/continuing allows data to be collected that demonstrates changes in the household status that are a result of accessing these services.

Figure 4 (see CAPER page 7)

Category of Services Accessed	Number of Households receiving HOPWA Housing Assistance		Number of jobs that included health benefits
	At Entry or Continuing ⁹	At Exit or Continuing ⁹	
i. Has a housing plan for maintaining or establishing stable on-going residency			
ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iv. Had medical insurance coverage or medical assistance			
v. Obtained an income-producing job created by this project sponsor during the year			
vi. Obtained an income-producing job outside this agency during the year			

- ♦ CATEGORIES OF SERVICES ACCESSED: Lists the services to be reported on for households.
- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT ENTRY OR CONTINUING: Report the household’s status at the beginning of the reporting year or upon initial entry into the program.

At Entry or Continuing⁹ indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

Row i. Has a housing plan for maintaining or establishing stable ongoing residency: Report the number of households that had a housing plan (not created by your program) in place upon their initial entry into the program AND the number of households continuing in the program from the previous year who have a housing plan in place.

Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of new households that had contact with a case manager or benefits counselor (not the HOPWA program case manager) at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a case

manager/benefits counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.

Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of new households that had contact with a primary health care provider at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.

Row iv. Had medical insurance coverage or medical assistance: Report the number of new households that had medical insurance coverage or medical assistance upon their initial entry into the program AND the number of households continuing in the program from the previous year that have medical insurance coverage or medical assistance. This may be client self-report.

Row v. NO DATA REQUIRED.

Row vi. NO DATA REQUIRED.

- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT EXIT OR CONTINUING: Report in Rows i–vi the household’s status at the end of the operating year or upon departure from the HOPWA program.

At Exit or Continuing⁹ indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

Row i. Has a housing plan for maintaining or establishing stable ongoing residency: Report the number of exiting and continuing households that had a housing plan.

Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a case manager or benefits counselor in the specified time period. For participants receiving case management from a non-HOPWA source, the client may self-report the amount of contact.

Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a primary health care provider in the specified time period. This may be client self-report.

Row iv. Had medical insurance coverage or medical assistance: Report the number of exiting and continuing households that had medical insurance coverage or medical assistance.

Row v. Obtained an income-producing job created by this project sponsor during the year: Report the number of exiting and continuing households that obtained a job with the direct assistance of the project sponsor.

Row vi. *Obtained an income-producing job outside this agency during the year:* Report the number of exiting and continuing households that obtained a job without any direct assistance from the project sponsor.

♦ NUMBER OF JOBS THAT INCLUDED HEALTH BENEFITS:

Rows i–iv. NO DATA REQUIRED.

Row v. *Obtained an income-producing job created by this project sponsor during the year:* For the households reported to have obtained a job with the direct assistance of the project sponsor, report the number of those jobs that included health benefits.

Row vi. *Obtained an income-producing job outside this agency during the year:* For the households reported to have obtained a job without the direct assistance of the project sponsor, report the number of those jobs that included health benefits.

b. *Income AT ENTRY OR CONTINUING:* Report on the household monthly income of households that received supportive services ONLY (paid for by HOPWA or non-HOPWA sources) that is in conjunction with HOPWA-funded housing assistance. These are the same households reported in the above chart and in Part 2, Rows 8(i), 10 and 11.

NOTE: Households may be reported in both income charts if they were in the program at the beginning and the end of the program year.

Rows 1–8. For entering and continuing households, report the number of households in each income category. All households that are continuing from the previous year should be counted in an income category at the beginning of the operating year AND all households that entered the program at any time throughout the year should be counted in an income category at the time of entry.

Figure 5 (see CAPER page 7)¹⁰

	A. Monthly Household Income at Entry or Residents continuing from prior Year End	Number of Households
i.	No income	
ii.	\$1–\$150	
iii.	\$151– \$250	
iv.	\$251–\$500	
v.	\$501–\$1,000	
vi.	\$1001–\$1500	
vii.	\$1501–\$2000	
viii.	\$2001 +	

b. (con't) *Income AT EXIT/END OF YEAR*: Report on the household monthly income of households receiving supportive services (ONLY) that is in conjunction with HOPWA-funded housing assistance. These are the same households reported in the above chart and in Part 2, Rows 8(i), 10 and 11.

Rows 1–8. For exiting and continuing households, report the number of households in each income category. All households that are have exited during the year should be reported in an income category at the time of exit AND all households that are continuing into the next operating year should be reported in an income category at the end of the operating year.

Figure 6 (see CAPER page 7, Part 4)¹⁰

	B. Monthly Household Income at Exit/End of Year	Number of Households
i.	No income	
ii.	\$1–\$150	
iii.	\$151–\$250	
iv.	\$251–\$500	
v.	\$501–\$1,000	
vi.	\$1001–\$1500	
vii.	\$1501–\$2000	
viii.	\$2001 +	

- c. *Support NOT IN CONJUNCTION with HOPWA-funded Housing Assistance⁸ (those special circumstances where the HOPWA program covers the cost of supportive services and housing needs are addressed elsewhere, through other sources).* Complete this chart for all households receiving HOPWA supportive services ONLY, but did not HOPWA-funded housing assistance. These are the same households that were reported in Part 2, Rows 8(ii), 10 and 11.

Figure 7 (see CAPER page 8)

Category of Services Accessed	Number of Households receiving HOPWA Housing Assistance ¹¹		Number of jobs that included health benefits
	At Entry or ⁹ Continuing	At Exit or Continuing ⁹	
i. Has a housing plan for maintaining or establishing stable ongoing residency			
ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iv. Had medical insurance coverage or medical assistance			
v. Obtained an income-producing job created by this project sponsor during the year			
vi. Obtained an income-producing job outside this agency during the year			

- ♦ CATEGORIES OF SERVICES ACCESSED: Lists the services to be reported on for households.
- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT ENTRY OR CONTINUING: ¹¹ Report the household’s status at the beginning of the reporting year or upon initial entry into the program.

Row i. *Has a housing plan for maintaining or establishing stable ongoing residency:* Report the number of households that had a housing plan (not created by your program) in place upon their initial entry into the program AND the number of households continuing in the program from the previous year who have a housing plan in place.

Row ii. *Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of new households that had contact with a case manager or benefits counselor (not the HOPWA program case manager) at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a case manager/benefits counselor at least once in the last three months

At Entry or Continuing⁹ indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

(or consistent with the schedule specified in their individualized service plan). This may be client self-report.

- Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of new households that had contact with a primary health care provider at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.
- Row iv. Had medical insurance coverage or medical assistance:* Report the number of new households that had medical insurance coverage or medical assistance upon their initial entry into the program AND the number of households continuing in the program from the previous year that have medical insurance coverage or medical assistance. This may be client self-report.
- Row v. NO DATA REQUIRED.*
- Row vi. NO DATA REQUIRED.*
- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT EXIT OR CONTINUING: Report in Rows i–vi based on the household’s status at the end of the operating year or upon departure from the HOPWA program.

Row i. Has a housing plan for maintaining or establishing stable on-going residency: Report the number of exiting and continuing households that had a housing plan.

Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a case manager or benefits counselor in the specified time period. For participants receiving case management from a non-HOPWA source, the client may self-report the amount of contact.

Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a primary health care provider in the specified time period. This may be client self-report.

Row iv. Had medical insurance coverage or medical assistance: Report the number of exiting and continuing households that had medical insurance coverage or medical assistance.

Row v. Obtained an income-producing job created by this project sponsor during the year: Report the number of exiting and continuing households that obtained a job with the direct assistance of the project sponsor.

Row vi. Obtained an income-producing job outside this agency during the year: Report the number of exiting and continuing households that obtained a job without any direct assistance from the project sponsor.

At Exit or Continuing⁹ indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

♦ NUMBER OF JOBS THAT INCLUDED HEALTH BENEFITS:

Rows i–iv. NO DATA REQUIRED.

Row v. *Obtained an income-producing job created by this project sponsor during the year:* For the households reported to have obtained a job with the direct assistance of the project sponsor, report the number of those jobs that included health benefits.

Row vi. *Obtained an income-producing job outside this agency during the year:* For the households reported to have obtained a job without the direct assistance of the project sponsor, report the number of those jobs that included health benefits.



For more information on additional ways to measure Access to Care and Services, go to AIDS Housing of Washington’s web site: <http://www.aidshousing.org>

Part 5: Appendix – Worksheet on Determining HOPWA Housing Stability Outcomes

This section covers part 5 (pages 9–10) of the CAPER:[13](#) [14](#)

- Information on how to categorize and count households as stable or unstable based on their housing situation
-

Part 5 of the CAPER provides more detailed definitions of each of the housing stability codes used in the HOPWA Performance Outcomes, Housing Stability section, on page 6 of the CAPER. Grantees reported a housing type or destination for each HOPWA household that received assistance with tenant-based rental assistance, facility-based rental assistance, and/or short-term rent, mortgage, or utility assistance, when they exited the HOPWA program or at the end of the operating year if it's expected that they'll continue into the next operating year. With that information, grantees can now determine the percentage of assisted households that are stable or unstable by using the worksheet[13](#) [14](#) below.

Remember for STRMU-assisted households that the current situation must be carefully assessed through case management to determine and track household stability in the most realistic manner. Some household tracked by operating year will “exit” for purposes of this report and should be reported in the most appropriate category. All households should be assessed each time STRMU assistance is requested and as needed at the end of the operating year. Household that are reasonably expected to need continued support, whether they have received all or only some portion of the allowable 21 weeks of assistance should be reported in category 2, “Temporary Housing.” Households that are reasonably expected to have achieved stability after having received any amount of STRMU assistance should be reported in category 3, “Private Housing.” The expectation is that these households will be able to maintain independence and will not require additional STRMU assistance. STRMU assistance is provided as a homelessness prevention tool and therefore, households reported in category 2, “Temporary Housing” are not counted toward your programs results in achieving housing stability.

NOTE: *This worksheet does not need to be completed and submitted with the APR. HUD will use data provided elsewhere in the form to review these outcome results. The form is intended for grantee's internal use in determining if they are meeting their stated outcomes in assisting households to achieve housing stability.*

Using the data on page 6 of the CAPER, grantees can plug those numbers into this worksheet and determine percentages. [13](#) & [14](#)

Type of Housing Assistance	Number in stable housing	Number in unstable situations	Percent Stable/total
Tenant-based Rental Assistance (TBRA)	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Facility-based Housing Assistance	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Short-term Rent, Mortgage, and Utility Assistance (STRMU)	(3+4+5+6=#)	(1+2+7+8=#)	
Total HOPWA Housing Assistance			
Prior Year Results			

Appendix A. HOPWA Technical Notes and Other Errata on Performance Reports

Please use this guidance in conducting data collection and evaluation of HOPWA programs under the new HOPWA reporting forms, issued earlier this year. These provide comments on instructions and interpretations of reporting elements.

Questions on these matters may be directed to the Office of HIV/AIDS Housing at HOPWA@hud.gov

HOPWA Consolidated Annual Performance Evaluation Report Measuring Performance Outcomes (form HUD-40110-D, Revised 1/2006); technical notes updated 5/4/06

1. Page 5: The first rows, 1–4, are to be covered by a column heading: *Housing Subsidy Assistance*
2. Reword Row 2 as *Facility-based units that receive operating subsidy: Number of households supported*
3. Reword Row 3 as *Facility-based units developed with capital funds and placed in service during the operating year: Number of households supported.*
4. After Row 4, a row in the Housing Subsidy Assistance section could allow for an *Adjustment to eliminate duplication* and Row 7 could be deleted.
5. Delete the word *households* from the row after Row 7; edit to read: “Total unduplicated number of units of housing assisted”
6. After Row 11, a row in this section could allow for an *Adjustment to eliminate duplication.*
7. In the title above Row 12, delete the words *Housing Development*; edit to read: “Administration, and Management Services”
8. Page 7: Access to Care and Support should be assessed for all households who benefit from HOPWA housing support, as noted in the title of the instruction, not limited to the type of service received. In addition, if a client is only benefiting from a type of supportive service, i.e. their housing is addressed from some other sources, these also would be assessed in this section, but under the chart in item c. The revised instructions are to read:

a. Support in conjunction with HOPWA-funded Housing Assistance. Please report on the access to care and support for all households receiving HOPWA housing assistance. Report on the household status at program entry (or beginning of operating year for households continuing from previous year) and program exit (or end of operating year for households

continuing services in the following operating year), if eligible individual living with HIV/AIDS accessed services.

9. Edit column headings to clarify the term continuing in the two contexts: At Entry or Continuing *from prior year*; At Exit or Continuing *to next year*.
10. The effectiveness of data collected in item b. Income table will be reviewed and may be deleted in future editions of this report.
11. Page 8: For the chart in item c, the column headings would apply to persons receiving HOPWA supportive services (not housing as noted in the instructions) and should read: “Number of Households receiving HOPWA-funded Supportive Services”
12. Edit column headings to clarify the term continuing in the two contexts: At Entry or Continuing *from prior year*; At Exit or Continuing *to next year*.
13. Page 9: Note the Worksheet has been replaced. See attached guidance

Worksheet on Determining HOPWA Outcomes—Assessing Stable and Temporary Housing Results (updated 5/4/06)

Worksheet on Determining HOPWA Outcomes Assessing Stable and Temporary Housing Results (updated 5/4/06)

HUD will be reviewing data in achieving this national result under the HOPWA performance indicator: The percentage of HOPWA clients who maintain housing stability, avoid homelessness and access care increases through the use of annual resources with the goal that this reaches 80 percent by 2008.

Grantees should compare their annual results against their own program goals and this national program performance indicator. This can be done by reviewing the percent of their HOPWA households who are shown to be residing in stable housing or in temporary arrangements that reduce their risks of homelessness.

Background on HOPWA Housing Stability Codes

Unstable Emergency or Homeless status

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

Short-term and Temporary Housing Arrangements

2 = Temporary housing - moved in with family/friends or other temporary, short-term arrangements, such as continued STRMU assistance, Ryan White subsidy, transitional housing for homeless, and temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center)*

** NOTE: STRMU is considered a temporary arrangement that reduces the risks of homelessness for a tenant or resident owner, and should be reported as category #2, if there is a reasonable expectation that additional STRMU support is needed or likely to continue into the next program year and assist the household in avoiding homelessness.*

Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy other than STRMU, including permanent placement with families or other self sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing assistance (not STRMU), e.g. TBRA or Facility-based Assistance.

NOTE: For some households, STRMU may address the temporary housing need for a tenant or resident owner, and should be reported as category #3, if there is an assessment and reasonable expectation that additional STRMU support will NOT be needed or is unlikely to continue into the next program year and the household will likely maintain its private housing arrangement

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility, hospital).

Life Events

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

OUTCOME ASSESSED: The HOPWA assisted households were enabled to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce their risks of homelessness, and improve access to HIV treatment and other health care increases through the use of annual resources with the goal that this reaches 80 percent by 2008.

OUTCOME INDICATOR is the total as follows as assessed at the end of each grantee program year (or when the household exited or had the last contact with the program during that year):

A. Assessments for STRMU assistance:

Stable Housing is the sum of the number of households reported under categories 3, 4, 5, and 6 who accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional STRMU support is **not** needed in order to maintain private housing arrangements (as STRMU is a time-limited form of housing support).

Temporary Housing reported under category 2 should be used to reflect on-going short-term or temporary efforts that help prevent or reduce risks of homelessness. Include households who received STRMU assistance for some portion of the permitted 21-week period and who will most likely continue to receive this assistance in the next program year, based on a reasonable understanding or assessment of their housing arrangements.

Unstable Situations is the sum of the number of households reported under categories 1, 7, and 8 that accessed assistance for some portion of the permitted 21-week period during that program year and the household is not maintaining a stable or temporary housing arrangement that is likely to continue to need STRMU assistance into the next year.

B. Assessments for TBRA:

Stable Housing is the sum of the number of households who (i) remain in the housing and (ii) those who left the assistance as reported in categories 3, 4, 5, and 6. **Temporary housing** is those households reported under category 2. **Unstable Situations** is the sum of number of households reported under categories 1, 7 and 8.

C. Assessments for Facility-based housing assistance:

Stable Housing is the sum of the number of households who (i) remain in the housing and (ii) those who exited the program, as reported under categories 3, 4, 5, and 6. **Temporary housing** is those households reported under category 2. **Unstable Situations** is the sum of the number of households reported under categories 1, 7, and 8.

Worksheet on Percentage of Households (HHs) in Stable & Temporary Housing

Type of Housing Assistance	[A] Number of HHs in stable housing	[B] Number of HHs in temporary housing with reduced risk of homelessness	[C] Number of HHS in unstable situations	[D] Percent Stable/total [#A/(#A+ B+C)]	[E] Percent Temporary housing/total [#B/(#A+ B+C)]
i. Tenant-based Rental Assistance	(# remaining in program plus 3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
ii. Facility-based Housing Assistance	(# remaining in program plus 3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
iii. Short-term Rent, Mortgage, and Utility Assistance*	(3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
iv. Total HOPWA Housing Assistance				%	%
v. RESULT: Sum of stable and temporary housing by percentage	N/a	N/a	N/a	SUM of Result by % %	

*STRMU recipients who are not likely to need additional STRMU support are reported as stable, such as category 3 private housing. If additional STRMU assistance is likely to continue, report as category 2 temporary housing. Compare the sum of Column D and Column E with the grantee’s goal or goal by type of activity and the national goal of at least 80 percent.

Appendix B. Glossary

Adjustment for Duplication: Refers to the number of households or beneficiaries that received more than one type of assistance in a given service category. The adjustment for duplication should provide an unduplicated total.

Administrative Costs: Refers to costs for general management, oversight, coordination, evaluation, and reporting. By statute, grantee administrative costs are limited to three percent of total grant award, to be expended over the life of the grant. Project sponsor administrative costs are limited to seven percent of the total grant award, to be expended over the life of the grant.

Anonymous Data: Information where you do not know who provided the responses. See also Confidential Data below.

At Entry or Continuing:² Indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

At Exit or Continuing:² Indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

Baseline: Data gathered to provide a comparison for assessing program changes or impact.

Benchmark: Data used as a comparison or a standard of achievement for a specific indicator or outcome.

Beneficiary: A beneficiary is any individual who received HOPWA housing assistance during the operating year, and includes all members of the household receiving assistance.

Chronically homeless person: A “chronically homeless person” is “an unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more **OR** has had at least four episodes of homelessness in the past three years.” For this purpose, the term “homeless” means “a person sleeping in a place not meant for human habitation (e.g., living on the streets) or in an emergency homeless shelter.” This does not include doubled-up or overcrowding situations.

Community Residence: A community residence shall be a multi-unit residence designed for eligible persons...[to provide a]...lower cost residential alternative to institutional care and to prevent or delay the need for institutional care [or] to provide a permanent or transitional residential setting with appropriate services that enhances the quality of life for individuals who are unable to live independently.

Compliance Monitoring: Tracking and reporting information on what and how much service a program delivers, the clients it serves, how much money it expends, and, possibly, the outcomes it achieved, in relation to what an organization has agreed upon, generally referring to contractual arrangements made between an organization and its funder on the use of funds.

Confidential Data: Information where you do know—or can find out—who provided the responses, but you keep the information to yourself.

Data: Information collected in a systematic way that is used to draw conclusions about a program or its outcomes.

Disabling condition: A “disabling condition” is “a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions.” In addition, a disabling condition may limit an individual’s ability to work or perform one or more activities of daily living. An HIV/AIDS diagnosis is considered a disabling condition.

Entered the program: When the participant’s eligibility and housing needs are assessed.

Evaluation: The systematic application of social research procedures for assessing the conceptualization, design, implementation, and utility of health or social interventions.

Facility Based Rental Assistance: Expenditures to support facilities including community residences, SRO dwellings, short-term or transitional facilities, project-based units, master leased units, and other housing facilities approved by HUD, and supportive-services-only facilities. Facility-based housing is attached to the unit, not the participant. Assistance can only be provided to an eligible participant while they reside in the assisted unit.

Facility-Based Non-Housing: Meeting or office space where clients access case management or other services but no housing units are located on site.

Goal: Broad statement of the ultimate aims of a program, generally beyond the ability of one organization to achieve on its own.

Grassroots organization: A “grassroots organization” means an organization that is headquartered in the local community to which it provides services; and, (1) has a social services budget of \$300,000 or less, or (2) has six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered “grassroots.”

HOPWA-eligible Person: The person with HIV/AIDS who qualifies the household for HOPWA assistance. This person may be considered “Head of Household.” When the CAPER asks for information on eligible individuals please report on this person only. Where there is more than one person with HIV/AIDS in the household, the additional PWA(s), would be considered a beneficiary(s).

Household: A “household” means a single individual or a family composed of two or more persons, for which household incomes are used to determine eligibility and for calculation of the resident rent payment. Caregivers and non-beneficiaries who resided in the shared unit are not reported on in the CAPER. The term is used for collecting data on changes in income, changes in access to services, receipt of housing information services, and outcomes on achieving housing stability.

Housing Stability: See Part 4: Appendix (page 9) of the CAPER and the updated Housing Stability Worksheet¹⁴ for definitions of stable and unstable housing situations.

Indicator: The specific, measurable information that will be collected to track success of an outcome. Another commonly used phrase is “performance measure.”

Instrument: A tool used to collect data, including survey questionnaires, interview guides, observational checklists, and written record extraction forms.

Multiple Diagnosed Issues: A disease or condition, such as serious mental illness or substance abuse, co-existing with risk of homelessness for persons living with HIV/AIDS.

Non-Facility-based Housing Assistance: HOPWA housing expenditures to support tenant-based rental assistance or Short-term Rent, Mortgage, and Utility Assistance (STRMU).

Non-HOPWA-leveraged sources: Non-HOPWA-leveraged resources refers to cash resources separate from the HOPWA grant award, and may include: CDBG, HOME, ESG, SHP, S+C, SRO Mod Rehab, Housing Choice Vouchers (Section 8), PHA units, Supportive Housing for Persons with Disabilities/Elderly (Section 811/202), Low Income Housing Tax Credits (LIHTC), Historic Tax Credits, USDA Rural Housing Service, Ryan White CARE Act programs, other federal programs at HHS, VA, DOL, etc, state funds, local government funds, and private philanthropy. While other HOPWA funds may be used in conjunction with this grant, the amounts are not counted as leveraging for purposes of the grant application selection or criteria, and performance is reported under the applicable HOPWA grant.

Non-substantial Rehabilitation: Rehabilitation that involves costs that are less than or equal to 75 percent of the value of the building after rehabilitation.

Objective: A specific, measurable accomplishment within a specified timeframe.

Operating Costs: Applies to facility-based housing only, for facilities that are currently open. Operating costs can include day-to-day housing function and operation costs like utilities, maintenance, equipment, insurance, security, furnishings, supplies and salary for staff costs directly related to the housing project but not staff costs for delivering services.

Outcome: The changes in the lives of individuals, families, organizations, or the community as a result of this program; benefit for participants during or after their involvement in a program; the impact of the program on the people it serves.

Outcome Assessed [in HOPWA CAPER and APR]: The HOPWA-assisted households who have been enabled to establish or better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce the risks of homelessness, and improve access to HIV treatment and other health care increases through the use of annual resources with the goal that this is achieved for at least 80 percent of clients by 2008.

Outcome Evaluation: Systematic examination of the impact of the program and what resulted for the participants, clients, consumers, or customers. Another commonly used phrase is “summative evaluation.”

Output: The product delivered or the unit of service provided by the program, usually described numerically, such as number of housing units developed, number of people served, or number of hours of service delivered.

Output Assessed [in HOPWA CAPER and APR]: The number of units of housing or households that receive HOPWA housing assistance during the operating year.

Outcome Measurement: A systematic way to assess the extent to which a program has achieved its intended results; generally used in the not-for-profit world.

Operating Year: The operating year is the 12-month period in which grantees carry out HOPWA projects and the related activities established in their HUD-approved Consolidated Plan/Action Plan(s). The information contained in this CAPER should reflect one operating year of the grantee’s report. Project sponsor accomplishment information must reflect the same time period as the grantee’s operating year and CAPER dates. New grantees have some flexibility in setting the dates of operating years. Any change requires the approval of HUD by amendment, such as an extension for one additional year of operation.

Permanent Supportive Housing: Housing in which the eligible person has a continuous legal right to remain in the unit and which provides the eligible person ongoing supportive services through qualified providers.

Permanent Housing Placement: A supportive housing service that helps establish the household in the housing unit, including reasonable costs for security deposits not to exceed two months of rent costs.

Project Sponsor: Any qualified nonprofit organization or governmental housing agency that receives funds under a contract with the grantee to carry out eligible HOPWA activities.

Qualitative Data: Descriptive or subjective information provided in narrative terms.

Quantitative Data: Numerical information gathered in a structured way.

Rehabilitation: The improvement or repair of an existing structure, or an addition to an existing structure that does not increase the floor area by more than 100 percent.

Related Support from a Non-HOPWA Source: Non-HOPWA cash resources used as leveraging for HOPWA eligible activities. See also Non-HOPWA-leveraged sources.

Short-term Rent, Mortgage, and Utility Assistance (STRMU): A housing subsidy provided to mortgagers or renters in their current place of residence for assistance with rent, mortgage or utilities for a period of up to 21 weeks.

Stewardship Units: Units developed with HOPWA but no longer have current operation or other housing costs. Report information as the units remain subject to the three- or ten-year use agreements.

Substantial Rehabilitation: Rehabilitation that involves costs in excess of 75 percent of the value of the building after rehabilitation.

Tenant-Based Rental Assistance (TBRA): A housing subsidy provided to the eligible participant for use on the open rental market where the tenant holds a lease with a private landlord. The participant may use the subsidy in any FMR- and HQS-eligible unit.

Unduplicated Count: A household, individual, or unit is counted only once.

Veteran: Anyone who served or is currently serving in the military forces.

Appendix C. Frequently Asked Questions

How were the three outcomes for HOPWA-funded programs selected?

During the 2003 HOPWA Grantees Meeting in Washington, D.C., a facilitated discussion with grantees and project sponsors identified which outcomes made the most sense and how best to measure them. With this information, the Office of HIV/AIDS Housing began a negotiation process with HUD and OMB, which resulted in the selection of the three outcomes identified for HOPWA-funded programs.

What are the “supportive services” referenced in the second outcome?

Supportive services can include:

- ♦ Adult day care and personal assistance
- ♦ Alcohol and drug abuse services
- ♦ Case management/client advocacy/access to benefits and services
- ♦ Childcare and other child services
- ♦ Education
- ♦ Employment assistance and training
- ♦ Health/medical/intensive care services
- ♦ Legal services
- ♦ Life skills management
- ♦ Meals/nutritional services
- ♦ Mental health services
- ♦ Outreach
- ♦ Transportation

Why isn’t data collected on the third outcome, “reducing risk of homelessness”?

The first two outcomes contribute to achievement of the third one. Unstable housing and limited access to needed services put people at risk of homelessness. Thus, if individuals have more stable housing, and if they have better access to health care and other supportive services, the likelihood of their becoming homeless will be less. Also, while there are a number of ways to measure the reduced risk of homelessness, none are necessarily more appropriate for AIDS housing programs than measuring housing stability and access to services.

Where did the categories for Prior Living Situation come from?

In attempt to make it easier for grantees and project sponsors to collect and report data, HOPWA adopted the categories from the Universal Data Elements used in the Homeless Management Information System (HMIS).

Is the Housing Stability worksheet¹⁴ optional?

HOPWA does not need grantees to provide the summary information found in the worksheet since it can use the data from the other charts in grantees' reports to generate a summary report on housing stability for HUD and Congress. The worksheet is intended to assist grantees with determining their progress in meeting outcome goals.

How were the Stable Housing vs. Unstable Situation categories used in the optional worksheet determined?

Following discussion with HUD and other stakeholders, HOPWA made the determination regarding which housing categories would be considered Stable and Unstable.

What is the reasoning behind the measures for the Access to Care and Supportive Services?

Grantees and project sponsors involved in the 2003 HOPWA meeting identified contact with case managers and primary health care providers, among many other measures, as the most reasonable indications of Access to Care and Supportive Services for people with HIV/AIDS. They are considered "proxies" that stand in place of a more direct measure of increased access to service. Tracking a beneficiary's need for and exact use of services prior to and during involvement with a program requires considerable recording keeping. While this may be necessary for a program sponsor in order to access service funding for their clients, summarizing the data across all beneficiaries and reporting it for HOPWA was considered too difficult and burdensome.

Why are questions included about beneficiaries receiving jobs?

With the changing nature of HIV/AIDS and the possibility that beneficiaries will be in need of and seeking employment, some project sponsors have added this service to their programs. It is one means to learn whether project sponsors are helping beneficiaries gain access to services they need.

Why is reporting on Access to Care and Support requested for only some of the supportive services?

Per the errata of 5/4/06, outcomes on Access to Care and Support should be reported for households that receive any supportive service.⁸

Why is case management not required for all HOPWA-funded programs?

The HOPWA regulations specify that supportive services must be provided in conjunction with HOPWA-funded housing. Supportive services, including case management activities should be provided as part of an Individualized Service Plan developed for the HOPWA participant that is designed to meet their specific needs. Each participant's needs will differ as will their Individualized Service Plan and need for case management.

When should the annual re-assessment be conducted?

The choice about the timing for the annual re-assessment is up to the grantee and project sponsors. It can be done at the end of the program year for which HOPWA funds are being used. It can be done at the end of the calendar year or the end of the fiscal year. It can be done at the end of each beneficiary's year, on the anniversary date of his/her entry into the program. The summary of all beneficiaries, however, is reported at the end of the program year for which HOPWA funds are being used.

What about beneficiaries who exit the program and then return?

Many project sponsors have adopted the practice of identifying beneficiaries as Active, Inactive, or Exited. The latter category is used when the beneficiary has formally left the program, moved to another state or community, or been Inactive for some specified period of time, say one year. If an individual were to re-enter the program after being considered Inactive, or for that matter after being considered Exited, his/her Active status could be reinstated and the client ID# retained. The project sponsor reports only on beneficiaries who are Active and those who Exited during the program year.

Are we required to do follow-up with beneficiaries who leave our program?

No. It can be very useful in determining the longer-term effects of your program on beneficiaries, but it does require additional time and effort, likely beyond the resources available for CAPER/APR reporting.

What about the confidentiality of beneficiary information?

Protecting the privacy of beneficiaries is essential. Data collection must be conducted with appropriate safeguards to ensure confidentiality of individuals. New regulations have re-enforced the importance of confidentiality, specifically with regard to health information. Respecting the rights and privacy of beneficiaries and protecting them from threat or harm should be paramount in outcome measurement work. To learn more about confidentiality, look for additional resources on AIDS Housing of Washington's web site: <http://www.aidshousing.org>

Are there shorter-term outcomes that could be measured for beneficiaries?

There certainly are many other outcomes that could be measured, including short-term ones. For example, a shorter-term outcome related to housing stability may be “increased housing readiness for beneficiaries” or “increased financial management skills” or “increased ability to pay housing-related expenses.” For further information on creating outcome chains with short, intermediate, and longer-term outcomes, look for additional resources—including the publications, *Tools for Outcome-Based Evaluation of HOPWA-Funded Programs*, *Tools for Outcome-Based Evaluation of HOPWA Formula Grantees*, and *Creating Outcome Chains*—on AIDS Housing of Washington's web site: <http://www.aidshousing.org>